

NURSE ASSISTANTS
HOME HEALTH AIDES
HEMODIALYSIS TECHNICIANS

CERTIFICATION FACTS

August 2001

State of California
Gray Davis, Governor

California Health and Human Services Agency
Grantland Johnson, Secretary

Department of Health Services
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AIDE AND TECHNICIAN CERTIFICATION SECTION (ATCS) RESPONSIBILITIES

The Department of Health Services (DHS), Licensing and Certification Program, Aide and Technician Certification Section certifies nurse assistants (CNAs), home health aides (HHAs) and hemodialysis technicians (CHTs) and maintains a registry for these categories of health care workers. ATCS' responsibilities also include oversight of training programs, instructor qualifications, and disciplinary actions that result from criminal convictions and/or misconduct by CNAs, HHAs, and CHTs.

NURSE ASSISTANT CERTIFICATION

Role of a Certified Nursing Assistant (CNA)

Under the supervision of a licensed nurse (registered or vocational), a CNA provides basic nursing services to ensure the safety, comfort, personal hygiene, and protection of patients/residents in a licensed long-term or intermediate health care facility.

CNAs may not perform any nursing services that require a professional nursing license. For a specific list of the types of procedures which may be performed by CNAs, see page 27.

Where CNAs Work

Non-licensed individuals who provide nursing services must be certified as a nurse assistant to work in:

- Skilled nursing facilities (SNFs)
- "Distinct part" skilled nursing facilities (DP/SNF) within general acute care hospitals, where "distinct part" is defined as a part of the hospital set aside for the care of long-term care patients.
- Intermediate Care Facilities (ICFs)

General acute care hospitals may also hire CNAs; however, unlike SNFs, ICFs and DP/SNFs, they are not required by state or federal law or regulations to do so.

Limits of Certification

CNAs may represent themselves as certified nurse assistants only when working in licensed health facilities. They may not advertise or represent themselves as CNAs when providing personal care services independently. For example, residential care facilities that are not health care facilities may also hire individuals with CNA training and experience; however, in such a setting, the individual may not claim the title "certified nurse assistant."



Certification Facts

Certification Requirements

To become a CNA, applicants must:

- Be at least 16 years of age
- Meet the pre-screening requirements (see below)
- Submit fingerprints to ATCS upon enrollment in an ATCS-approved training program and prior to patient contact (see page 20)
- Complete a minimum of 150 hours of training in an ATCS-approved program, taught by ATCS-approved instructors; OR
 - Be eligible through an equivalent training program (see page 8); OR
 - Be eligible through reciprocity from another state (see page 8)
- Successfully complete a competency exam conducted by an ATCS-approved testing vendor. (Does not apply to reciprocity applicants.)

Pre-Screening Requirements

Nurse assistant students cannot participate in the mandatory portion of training that requires direct contact with residents in long-term care (LTC) facilities until they have submitted an application, fingerprints, and fee to ATCS (see page 20). Because applications for certification can be denied in the pre-screening process, ATCS recommends that every individual applying for nurse assistant certification understand the health and conviction screening requirements before registering for training or requesting certification through reciprocity from out of state.

Health screening

Applicants must have a physical exam and provide a report prepared by a physician, physician's assistant, or nurse practitioner stating that the applicant has no health condition that would create a hazard to her/himself, fellow employees, residents or visitors. The report must describe:

- The applicant's medical history and physical examination, and
- The result of a purified protein derivative (PPD) intermediate strength intradermal skin test for tuberculosis, unless medically contraindicated. If a positive reaction is obtained, a chest x-ray shall be taken, unless medically contraindicated. CNA applicants may not have contact with residents until they obtain a report that confirms there is no health hazard for any positive skin test (with or without a chest x-ray).

Conviction screening

Before registering for a CNA training program, applicants should review the list of Penal Code Sections (see page 29) that result in automatic denial of their application. ATCS can approve certification for applicants with convictions only if the applicant has obtained a Dismissal or Certificate of

Rehabilitation from the court in the county where the conviction(s) occurred. Applicants with disqualifying convictions may send Certificates of Rehabilitation (for felonies) or Dismissals (for misdemeanors) with their applications. However, ATCS will not make any determinations on self-declared convictions until it has received the applicant's complete record from the Department of Justice (DOJ).

Training Requirements

To achieve certification, applicants must successfully complete either an ATCS-approved training program¹ or one of the Department of Education's adult education/regional occupation programs for nursing assistants.

The minimum training requirements² for California CNAs are:

- 50 hours* of theory (classroom) and
- 100 hours of supervised clinical training in a nursing facility.

*Sixteen hours of training in communication, infection control, safety procedures (including Heimlich maneuver), and promoting resident independence and rights must be completed before there is any contact with residents.

Facility-Provided Nursing Assistant Training

Facilities that offer CNA training may not charge students who are employees (or to whom the facility has made an offer of employment) for any portion of the training program (including fees for textbooks or other course materials). This applies whether the facility conducts the training in-house or contracts for employee training through another facility, community college, regional occupational training/adult education program or ATCS-approved proprietary school.

In fact, facilities that train nurse assistants or contract for training are required to hire applicants/trainees on a full-time basis and immediately place them in a training program. Also, employees must receive their normal hourly wage on a full-time basis while in training. (Facilities are reimbursed at the Medi-Cal rate for nurse assistant training costs.)

¹ ATCS approves training programs offered by long-term care facilities, community colleges or proprietary schools.

² ATCS is developing regulations to implement new legal requirement for 60 hours of theory. Contact ATCS after January 2002 for specific information regarding when the 60-hour requirement will take effect.



Certification Facts

Exam Costs Reimbursement

Upon request from the applicants, LTC facilities must reimburse exam costs within one year of passing the exam and after at least four months of continuous employment if the applicant paid for the cost of their exam. The CNA must show the employer the original receipt of the payment for the exam to be reimbursed. (Reimbursement is only required for the cost of the original exam. An individual who takes the exam to reactivate his/her certificate is solely responsible for exam costs which is not reimbursable.)

Competency Exam Sponsorship

ATCS-approved CNA training programs must sponsor their successful graduates for competency testing. By signing the bottom of an applicant's HS 283B application form, the registered nurse who supervised the training program certifies the applicant's successful completion of the training and indicates the program's sponsorship of the applicant for the exam.³ The testing vendors may not admit applicants who have not been appropriately sponsored to the competency exam.

Testing Vendors

There are two testing vendors for the California nurse assistant competency exam:

1. The American Red Cross
2. The Chancellor's Office of California Community Colleges-Nurse Assistant Training and Assessment Program (COCCC-NATAP)

Employment and the Competency Exam

No applicant/trainee may work as a nurse assistant beyond four months of the date of hire unless the person has successfully completed nurse assistant training and the competency examination. If an applicant/trainee does not successfully complete the examination, the facility should immediately retrain the individual in those areas in which she/he was found to be deficient and reschedule another examination within four months of hire.

If the four-month time period expires before the individual has successfully completed the competency exam, she/he can no longer perform the duties of a nurse assistant. Other duties, such as housekeeping or dietary, must be assigned to the employee if she/he is to remain employed by the facility.

³ ATCS sponsors equivalency or reactivation applicants for the competency exam.

Opportunities to Pass the Exam

CNA applicants may take the exam up to three times before they must take the entire training program again. Further, each applicant has two years from completion of his or her training program in which to pass the competency exam. (If an applicant has not passed the exam within two years, she/he must take the entire training program again to obtain certification.)

Continuing Education/In-Service Hours

For each two-year period of certification, CNAs are required to obtain 48 hours of in-service or continuing training hours. As CNAs are sent their certificates, a DHS form titled "CNA In-Service Training/Continuing Education" (HS 283A) is mailed in the same envelope. CNAs are required to keep a written, cumulative list of the in-service/continuing education hours they complete for four years. This form (or any form using the same format) should be used for this purpose. CNAs are not required to submit the form at the time of renewal; however, if ATCS asks for this list and a CNA cannot produce it (or a copy), his or her certificate becomes inactive until he/she can verify the hours certified in his/her application for renewal.

CNA employers must also keep a record of these hours in the CNA's personnel file for four years. Employers are also required to share this information if sought by CNAs and/or ATCS.

Period of Certification/Certification Expiration

After the initial period of certification, CNA certification is good for two years. However, the law governing expiration of the initial certification is more complicated. There are three considerations to keep in mind:

1. Initial certification starts from the date an applicant passes the competency exam or has cleared the background check, whichever comes later. This is called the date of certification.
2. If the applicant was born in an even-numbered year (such as 1968, 1976, 1984, etc.) then the initial certification will expire on the applicant's birthday in an even-numbered year (such as 2002, 2004, 2006, etc.). If the applicant was born in an odd-numbered year (such as 1965, 1973, 1981, etc.), then the initial certification will expire on the applicant's birthday in an odd-numbered year (2001, 2003, 2005, etc.)
3. Initial certification must be for a minimum of 13 months.



Certification Facts

The following table provides examples of calculating the expiration date for a CNA's initial certification.

Birth Date	Date of Certification	Date of Expiration	Explanation for Date of Expiration
5/30/1979	4/30/2000	5/30/2001	The applicant was born in an odd-numbered year. Thirteen months will have passed by the applicant's birthday in the first odd-numbered year following the date of certification, therefore the certificate expires in the first odd-numbered year.
5/30/1979	6/2/2000	5/30/2003	The applicant was born in an odd-numbered year. However, the applicant will have been certified for less than 13 months by the applicant's birthday in the first odd-numbered year following the date of certification, so the certification remains good until the next odd-numbered year.
5/31/1978	12/28/2001	5/31/2004	The applicant was born in an even-numbered year and will have been certified less than 13 months in the first even-numbered year following the date of certification. Therefore, certification remains good until the next even-numbered year.

Certificate Renewal or Reactivation

CNAs are ineligible to continue to perform CNA duties once their certificate expires **unless** the employer retains a copy of the renewal application and fee payment as proof of renewal submission. Employers will be required to verify renewal no later than 45 days after application submission to continue the CNA's employment. CNAs have up to two years after the expiration date to renew or reactive their certificate.

Renewals

As a courtesy, a renewal notice is sent to each nurse assistant at the last known address approximately three months before the certificate expires. However, if a CNA does not receive the notice, it is still the responsibility of the CNA to renew his/her certificate timely.

As of 1989, applicants qualify for a two-year renewal (good from the date of expiration) if:

- They can certify that they have worked for at least one day of pay in the last two years.
- They have paid any outstanding "waiver fees" from their initial certification. Until the fees are paid, any request for renewal or reactivation will be denied (see page 20).
- They can certify that they will have completed 48 hours of in-service training or continuing education by their present expiration date.

To apply for a two-year renewal:

CNAs who:	Have already been fingerprinted and cleared through ATCS...	Have not yet been fingerprinted and cleared through ATCS...
Should submit to ATCS:	<ul style="list-style-type: none"> A completed and signed HS283C application form A \$20 renewal fee. (An additional \$10 is required if postmarked over 30 days past the expiration date.) 	<ul style="list-style-type: none"> A completed and signed HS283C application form A \$20 renewal fee. (An additional \$10 is required if postmarked over 30 days past the expiration date.) Fingerprints using either the fingerprint card or live scan method. (See p. 20) The fingerprint fee of \$32 or copy of the BCII 8016 live scan form and a \$15 fee.

Reactivation

An option for CNAs who are unable to meet one or more of the renewal requirements within two years of their certificate expiration date but who want to continue or resume work is to take the competency exam to reactivate their certificates.

To reactivate your certificate:

CNAs who:	Have already been fingerprinted and cleared through ATCS...	Have not yet been fingerprinted and cleared through ATCS...
Should submit to ATCS:	<ul style="list-style-type: none"> A completed and signed HS 283C application form A \$15 application fee 	<ul style="list-style-type: none"> A completed and signed HS 283C application form Fingerprints using either the fingerprint card or live scan method. (See p. 20) The fingerprint fee of \$32 or copy of the BCII8016 live scan form and a \$15 fee.

If they are qualified, ATCS will sponsor CNAs for the competency exam and will send them information about taking the exam. They may work, with proof of successful completion of the exam while their criminal background clearance is in process. They will not receive a certificate until they have been cleared. All convictions are reviewed. If the conviction prevents certification, the applicant and employer (if known) will be notified.



Certification Facts

Note: Reactivation of certification through competency testing is not to be used to circumvent the in-service training/continuing education requirement.

Equivalency Applicants

Equivalency applicants are individuals who have had training equivalent to the basic nursing care training California-certified nursing assistants must have, but who may not have received their training in California or through an ATCS-approved CNA training program.

Equivalency applicants must submit:

- Proof of meeting the pre-screening requirements (see page 2)
- A completed HS 283B application form for sponsorship for the competency exam
- An original transcript of training, translated in English (which will be returned to the applicant) OR proof on original school letterhead of having taken at least the fundamentals of nursing
- Proof of work (for at least one day for pay) providing nursing services within the last two years.
- Fingerprints (using the card or live-scan method, see page 20)
- A \$47 fee (\$15 administrative fee and \$32 fingerprint fee)

Nursing or psychiatric technician students or graduates of California accredited schools awaiting California State Board exams must submit all of the above except proof of work.

California Licensed RN, LVN, and LPT Applicants

DHS upholds the federal policy to permit, without certification, a California-licensed RN, LVN, or LPT who is in good standing with her/his respective licensing board to work as a CNA without certification as a CNA. However, when employed as such, the individual cannot perform duties accorded to her/his licensed status, but may only perform duties consistent with the pay and job title of a CNA.

ATCS does not issue certification to these individuals. (Employers are responsible for confirming the status of these health care professionals with their respective licensing boards).

Reciprocity Applicants

With implementation of the Omnibus Budget Reconciliation Act (OBRA) for nurse assistant training requirements in April 1992, California was instructed by the Health

Care Financing Administration to offer nurse assistant certification to anyone who is listed on any state's nurse assistant registry as:

- In "good standing" (having no findings of abuse, neglect, or misappropriation of residents' property) and
- "Active" (maintained on the State Nurse Assistant Registry as having met the OBRA training requirements and having provided nursing services at least one day, for pay, in the previous 24 months).

Reciprocity applicants who have been verified by the prospective employer with the respective state's registry (see page 24) as meeting federal requirements in the United States, should submit the following to ATCS:

- A completed HS-283B application form
- A copy of their state-issued certificate (this is not mandatory but they must indicate the state in which they are certified)
- Proof they have worked providing nursing services at least one day for pay in the last 2 years (this is only required if they received their certificate more than 2 years ago)
- Fingerprints using the card or live scan method (see page 20)
- A \$47 fee (\$15 administrative fee and \$32 fingerprint fee).

Reciprocity applicants may work as CNAs (unless they receive a letter of denial from ATCS) if **the facility**:

- Has verified the applicant is on the respective state's registry in good standing and has active status. Some states do not provide information regarding "status." In those states, as long as the name is listed, the CNA is considered "active."
- Has proof that the applicant has worked at least one day for pay providing nursing services in the last 24 months.
- Has proof that the CNA has applied to ATCS for certification.

Reciprocity applicants may **not** work as CNAs if:

- They do not have "active" status on their respective states' registries and are unable to get their certificates or registry status reactivated in their previous state.
- Their certificates or registry status have been expired or inactive for less than two years. These applicants may be allowed to take the competency examination in California without having to retrain by following the "equivalency applicant" instructions on page 8. (After these applicants have passed the exam, they may work pending receipt of a certificate or denial letter.)



Certification Facts

- Their certificates or registry status have been inactive for more than two years in their respective states. These applicants must retrain and successfully complete the competency exam to receive a California nurse assistant certificate. (After these applicants have passed the exam, they may work without a certificate pending receipt of a certificate or denial letter.)

HOME HEALTH AIDE CERTIFICATION

Role of Home Health Aides (HHAs)

Through a licensed home health agency or hospice program, and under the instruction and supervision of an RN, HHAs provide basic nursing services, food preparation, and household services for individuals receiving physician-prescribed care in their homes. An HHA may not provide any services that require a professional nursing or medical license.

Included in this publication is a functional statement for HHAs that lists specific procedures that may be performed by HHAs (see page 29).

Where Certified HHAs Work

Certified HHAs most typically provide services in private residences through their employment with a home health agency or hospice. Certified HHAs may also provide home health services to residents in a licensed residential care facilities when the facility contracts with a licensed home health agency or hospice that employs the HHA.

Limits/Benefits of Certification

Only certified HHAs may represent themselves with the title “certified home health aide.” However, HHAs may use the title only when employed by a licensed home health agency or hospice program. They may not advertise or represent themselves as certified HHAs when providing personal care services independently. For example, an individual with HHA training and experience may be directly employed by residential care facilities but not as a certified home health aide.

Requirements for HHA Certification

To become a certified HHA, applicants must:

- Be at least 16 years of age
- Meet the pre-screening requirements (see below)
- Submit an application for certification, fingerprints, and fees (see page 20)
- Complete an ATCS-approved training program and be deemed competent by an ATCS-approved instructor for certification in California

Pre-Screening Requirements

The pre-screening requirements for HHA certification are the same as for CNAs. Please see page 2 for a complete description.



Certification Facts

Training Requirements

The minimum training requirements for HHA certification in California are 65 hours of theory and 55 hours of supervised clinical training in a program approved by ATCS and taught by ATCS-approved instructors. However, if an applicant has an active nurse assistant certificate or is enrolled in a combined CNA/HHA training program, training may be limited to 40 hours (20 hours theory and 20 hours clinical) of supplemental home care training.

Upon completion of HHA training, the training program will submit to ATCS the Home Health Aide Certification List (HS 183 form) for those students who were successful.

These training requirements also apply to nursing students, nursing service personnel from the U.S. armed services, out-of-state licensed nurses, and foreign-trained nurses who are applying for HHA certification.

Competency Exam Requirements

Federal guidelines do not require a competency exam prior to certification as an HHA. Certification is based upon verification of successful completion of an ATCS-approved HHA training program. However, federal regulations do require home health agencies to conduct competency evaluations for HHAs under their employment before allowing them to provide any home health services.

Seeking Certification as Both CNA and HHA

When CNA and HHA certification is sought concurrently, HHA certification will not be issued until ATCS receives official notification of the successful completion of the CNA competency exam and of the candidate's fingerprint clearance and clearance is obtained.

In-Service/Continuing Education Requirement for Home Health Agencies

Home health agencies must complete an annual performance review and provide HHAs at least 12 hours of in-service training annually. HHAs will not be required to provide proof of in-service hours for renewal of their HHA certificates. However, these hours may be counted toward the continuing education unit (CEU) requirement for renewal of a nurse assistant certificate as referenced on page 5.

Period of Certification/Certification Expiration

HHAs who began their training after July 1, 1998 were issued renewable initial certificates that expire on the HHA's birthday. The expiration of an initial certificate may be between 13 months and three years depending on the applicant's birth year (see the explanation for CNA initial certification expiration, page 5).

For an individual who has both CNA and HHA certificates, the expiration date will be the same on both certificates.

Renewals

As a courtesy, a renewal notice is sent to each HHA at the last known address approximately three months before the certificate expires. However, if an HHA does not receive the notice, it is still the responsibility of the HHA to renew his/her certificate timely.

If the HHA holds both CNA and HHA certificates, the renewal notice will reflect dual renewals. ATCS will process both renewals in one transaction to avoid duplication of effort. Certificate holders will be charged one fee whether they are renewing an HHA certificate or both CNA and HHA certificates. A delinquency fee of \$10 will be charged for any renewal application postmarked more than 30 calendar days after expiration of the certificate(s).

HHAs do not have to renew their CNA certificates in order to renew their HHA certificate but the fee will be the same. If they renew their CNA certificate and also hold an HHA certificate, their HHA certificate will automatically be renewed, if they are cleared, at no extra charge.

Reciprocity Applicants

ATCS does not grant reciprocity for HHAs trained in other states. HHAs must complete an ATCS-approved training program in California and be deemed competent by an ATCS-approved instructor. The length of the program depends on whether the HHA has a California CNA certificate (40-hour course) or do not (120 hour-course).

California Licensed RNs, LVNs, and LPTs

DHS upholds the federal policy to permit, without certification, a California-licensed RN, LVN, or LPT who is in good standing with her/his respective licensing board to work as an HHA. ATCS does not issue HHA certificates to these individuals. However, when employed as such, the individual should only perform duties consistent with pay and job title of an HHA. (Employers are responsible for confirming the status of these health care professionals with their respective licensing boards.)



HEMODIALYSIS TECHNICIAN CERTIFICATION

Role of Certified Hemodialysis Technicians (CHTs)

Certified hemodialysis technicians perform venipuncture and arterial puncture for the purpose of providing dialysis treatment for a patient. CHTs may also administer local anesthetics, heparin, and sodium chloride solutions according to the protocol established by the medical director of the hemodialysis clinic or hospital unit and under the immediate supervision of a licensed physician, surgeon, or licensed RN. (CHT administration of local anesthetics, however, is limited to intradermal, subcutaneous, or topical administration.)

A CHT may not perform any duties that require a professional medical or nursing license.

Benefits of Certification

Only individuals who are certified as hemodialysis technicians by ATCS (or currently in training) may provide direct treatment to patients undergoing hemodialysis in a clinic or hospital. Even clinics/hospital units that choose not to provide a hemodialysis-training program are required to maintain a policy that the clinic/unit hires only technicians who are certified by ATCS⁴.

Hemodialysis Technician Trainees

Any individual in training for certification is classified as a hemodialysis technician trainee and must work under the immediate supervision of a licensed physician, surgeon, or licensed RN.

Requirements for Certification

To gain certification as a hemodialysis technician, an individual must have:

- Completed an ATCS-approved hemodialysis training and testing program in a hemodialysis clinic, hospital unit, or private school, OR
- Graduated from an ATCS-hemodialysis training and testing program operated by an accredited college or university, OR
- Obtained national certification from the Board of Nephrology Examination for Nurses and Technicians (BONENT).

There is also a \$50 fee due with each applicant's request for certification.

⁴ A copy of the policy must be signed by the clinic/unit administrator and submitted to ATCS.

For each applicant, the training program or hiring dialysis clinic/unit (as appropriate) must submit a letter on letterhead requesting certification of the applicant.

For applicants who are:	Trainees from Clinics, Hospital Units or Accredited College and Universities or Private Schools...	BONENT-Certified Employees...
The letter must contain:	<ul style="list-style-type: none"> ▪ The number of hours of training with a brief description of the curriculum. ▪ The type of dialysis machine(s) used in training. ▪ The medications the trainee is competent to administer. ▪ A statement that certifies that the individual has successfully completed the training program and warrants certification, as signed by the medical director and the RN who provided immediate supervision during training. ▪ The student/employee's name, home address, home phone number, social security number, birth date, and gender. ▪ Clinics/units that have been approved to provide training should provide their approval number. 	<ul style="list-style-type: none"> ▪ A statement that certifies that the individual has successfully demonstrated competence to perform dialysis and warrants state certification, as signed by the medical director and the RN who provided immediate supervision during assessment. ▪ The employee's name, home address, home phone number, social security number, birth date, and gender. ▪ A copy of the employee's BONENT certificate.

A copy of the request for certification letter must be placed in the employee's personnel file until it can be replaced with a copy of the certificate.

Curriculum Documentation

CHT training programs must retain all curriculum lesson plans, course outlines, competency tests, and attendance records. Individual employees' training records and final competency tests should be retained in their personnel records.

Period of Certification/Certification Expiration

The certification period for CHTs is four years. Without renewal, CHTs are ineligible for work past the expiration date of their certificate.

The initial certification period for a CHT is based upon the individual's date of birth. The initial period of certification will be established as close as possible to four years, but if the birth year falls in an odd year, expiration will be in an odd numbered year. If the birth year falls in an even year, the expiration will be in an even numbered year.



Certification Facts

Renewals

As a courtesy, a renewal notice is sent to CHTs approximately four months before their certificates expire. However, if the CHTs do not receive the notice, it is the responsibility of the CHTs to renew their certificates timely.

To apply for renewal, the following must be submitted to ATCS:

1. A letter or the renewal notice requesting renewal which includes, name, home address, home telephone number, Social Security number, date of birth, gender, and current hemodialysis technician certificate number.
2. A renewal fee of \$50.
3. Proof of 30 hours of continuing education taken in the last four years only.

In-Service Training/Continuing Education Requirements

Proof of 30 hours of in-service training/continuing education units (CEUs) is required at time of renewal. Original course certificates and/or report cards should be kept by the CHT for four years in the event the CHT is selected for a random audit.

The CEU requirement may be met through health-related courses offered by any of the following:

- Accredited post-secondary institutions (colleges and adult education)
- Continuing education providers approved by California Board of Registered Nurses and other recognized health associations
- Employer-sponsored in-service training or continuing education programs
- Recognized health associations (when ATCS determines the courses to be acceptable)

CHT CEU hours may also be counted toward the CEU requirement for renewal of a nurse assistant certification as referenced on page 5.

GENERAL INFORMATION

Requesting Forms

For a single copy of the one or more of the forms listed below, please write or call:

Department of Health Services
Aide and Technician Certification Section
Licensing and Certification
1800 Third Street, Suite 200
P. O. Box 942732
Sacramento, CA 94234-7320
(916) 327-2445

Available forms:

- HS 283A form (In-Service Training/Continuing Education)
- HS 283B form (CNA/HHA Initial Application)
- HS 283C form (CNA/HHA Renewal Application)
- HS 183 form (HHA Certification List)
- HS 318 form (Report of Misconduct)
- HS 322 form (Transmittal Application for Criminal Background Investigation)

These forms may also be found on the Internet at "<http://www.dhs.ca.gov/>". Click on "Services," then "Forms Index," then "Health Facilities-L&C."

If multiple copies of these forms are needed, they should be reproduced on the same color paper as the original form. Make certain to reproduce both sides for any two-sided form.

A supply of the BCII 8016 form (Request for Live Scan Service) and FD-258 fingerprint cards can be ordered from the California Department of Justice (916-227-3849, option 7).

Name and/or Address Changes

Individuals are responsible for notifying ATCS in writing within 30 calendar days after a change of name and/or address. Failure to report these changes can result in a delay to renewal or reactivation of certification.

To report a name or address change, submit the following items in a letter to ATCS (address given above):

- Certificate number
- Social security number



Certification Facts

- Former name and/or address
- Current name and/or address

For a name change only

Enclose a copy of a legal document that indicates the name change.

Acceptable legal documents include: a marriage certificate, divorce decree or other court documents, driver's license/Department of Motor Vehicle identification card, income tax return, W-2 form, voter's registration, passport, or public assistance/welfare forms, reflecting the new name. A Social Security card is **not acceptable** proof of name change.

Requests for Duplicate Certificates

Duplicate certificates are available upon written request. Submit a letter that includes the aide's certificate number, Social Security number, and \$5 check or money order. If a duplicate certificate is needed to accompany a name change, also follow the instructions above for reporting a name change.

Submitting Fees/Payments to ATCS

All cashiers' checks, money orders, or personal checks submitted to ATCS must be made payable to the Department of Health Services. **Do not send cash.** Personal checks dishonored by the bank will result in an additional charge of \$25 and inactivation of certification until the fee is paid.

Abuse Reporting

In addition to the mandated abuse reporting requirements under the Welfare and Institutions Code Section 15640, ATCS requests that all allegations of unprofessional conduct by a certified individual be reported as soon as possible to the ATCS Enforcement Unit. This includes, but is not limited to:

- Altering certificates
- Working past certificate expiration
- Falsified in-service hours
- Rough handling of patients
- Incompetence
- Negligence
- Physical, mental, or verbal abuse
- Misappropriation of funds/property

The Code of Federal Regulations, Section 483.13(c)(1)(iii) requires a nursing facility to report to DHS any knowledge it has of actions by a court of law against an employee which would indicate an unfitness for service. ATCS requests knowledge of all criminal activity be reported as soon as possible.

Reports may be made by calling the abuse reporting line at (916) 492-8232 or by completing and mailing the Report of Misconduct form (HS 318) to ATCS Complaint Investigation Unit at the address on the form (or fax to 916-324-1054).

Social Security Number and Address Confidentiality

Providing Social Security numbers is mandatory for purposes of identification in order to fulfill the State's responsibilities under federal regulations (42 Code of Federal Regulations (CFR), Sections 483.151 - 483.156). The DHS will not disclose this number to any inquirer.

Unless certificate holders specifically request in writing to ATCS that their address not be released, ATCS is required to release address lists, upon request from employer or labor organizations for recruitment purposes. Addresses will not be given to assist individual requestors in tracking the whereabouts of certificate holders.

State and Federal Requirements

The state and federal requirements governing the certification and oversight of CNAs, HHAs and CHTs are as follows:

CNAs	HHAs	CHTs
<ul style="list-style-type: none"> California Health and Safety Code (H&S Code), Sections 1337 to 1338.5 Title 22, California Code of Regulations (CCR), Division 5, Chapter 2.5, Sections 71801 - 71853 Code of Federal Regulations 42 (CFR 42), Section 483.13, 483.75, 483.154, and 483.156 	<ul style="list-style-type: none"> H&S Code, Sections 1736.1 - 1736.6 Title 22, CCR, Division 5, Chapter 6, Sections 74709, 74710, and 74745-74749 CFR 42, Section 484.36 	<ul style="list-style-type: none"> California Business & Professions Code (B&P Code) Sections 1247.6 to 1247.95 CFR 42, Section 405.2136(d)(4)(6)

For purchase of the above publications, inquire as follows:

Certification Facts

Title 22	CFR 42	H&S and B&P Codes
Barclays Law Publishers P. O. Box 95767 Chicago, IL 60694-5767 1-800-888-3600	Superintendent of Documents P. O. Box 371954 Pittsburgh, PA 15250-7954 (202) 512-2267	West Publishing 620 Opperman Drive St. Paul, MN 55164 1-800-340-9378

These publications may also be found on the internet as follows: Title 22, www.calregs.com; CFR 42, www.access.gpo.gov/nasa/cfr/cfr-table-search.html; H&S and B&P Codes, www.leginfo.ca.gov/calaw.html. They can also be found in county law libraries that are open to the public.

Fingerprinting and Submission Requirements

All initial and renewing CNA/HHA certification applicants who have not been cleared through ATCS and all employees of Intermediate Care Facilities (ICF) for Developmentally Disabled (DD), Developmentally Disabled-Habilitative (DDH), and Developmentally Disabled-Nursing (DDN)⁵, must submit their fingerprints for clearance.

Note: Once submitted to ATCS, the \$32 fingerprint fee is not refundable whether or not the applicant completes the program, passes the exam, or receives a clearance.

There are two methods of fingerprinting available:

The Live Scan Fingerprint Process	The Fingerprint Card Process
<p>In the Live Scan Process, fingerprints are electronically transmitted to the DOJ from a service site where the fingerprints are scanned and imaged. A local law enforcement agency should be able to give the location and telephone number of the nearest live scan site. Or, updated lists of live scan sites can be obtained from the Attorney General's website at:</p> <p>www.caag.state.ca.us/fingerprints/publications/contact.pdf</p> <p>Most live scan sites require appointments and costs vary by site. Also, at a live scan site, applicants must pay the service fee and the DOJ processing fee of \$32 to the service site so no waiver can be used.</p>	<p>In the Fingerprint Card Process, fingerprints are inked and "rolled" onto cards. This can be done at a local office of the American Red Cross (ARC), a local law enforcement agency, or other businesses that have individuals who are trained to roll fingerprints.</p> <p>(Locations for these businesses may be listed in the yellow pages of the telephone book. ARC charges \$10 for rolling prints; others may vary.)</p>

⁵ As of 1998, DHS has the authority to fingerprint employees (not-certified) at ICF-DD, DDH, DDN facilities. Fingerprint clearance through ATCS in this category means that the individual does not have to submit fingerprints again for CNA/HHA certification.)

To gain clearance for certification or employment:

	With Live Scan...	With Rolled Prints...
CNAs and HHAs must submit to ATCS upon enrollment and before patient contact:	<ul style="list-style-type: none"> • A completed 2nd copy of the BCII 8016 form, signed by the live scan technician, • A completed and signed application (HS 283 B), and an • Application fee (\$15 for initial certification; \$20 for renewal⁶) made payable to DHS 	<ul style="list-style-type: none"> • A "rolled" fingerprint card (don't fold) and \$32 fingerprint processing fee, • A completed and signed application (HS 283 B), and an • Application fee (\$15 for initial certification; \$20 for renewal⁶) made payable to DHS
ICF-DD, DDH, and DDN employees must submit to ATCS:	<ul style="list-style-type: none"> • A completed 2nd copy of the BCII 8016 form, signed by the live scan technician and a, • Transmittal Application for Criminal Background Investigation (HS 322 form) completed and signed by the applicant 	<ul style="list-style-type: none"> • A "rolled" fingerprint card and \$32 fingerprint fee and a • Transmittal Application for Criminal Background Investigation (HS 322 form) completed and signed by the applicant

Temporary Fee Waiver

Any initial nurse assistant or HHA applicants who are unemployed and unable to pay the \$32 background investigation fee due to financial hardship, may request a temporary waiver for a period not to exceed six months from completion of training or date of employment (whichever comes first). The appropriate form (HS 321) must be completed and included with the applications, fingerprints and a \$15 administrative fee (the \$15 fee cannot be waived). Failure to pay this fee within the six-month period will result in the inactivation of the individual's certificate until the fee is paid.

The waiver cannot be used for renewing applicants regardless of employment status. However, if they submitted waiver forms when they began to train and have never paid the \$32 fingerprint fee, their certificates will be inactivated and will not be renewed until the fee is paid.

⁶ Add \$10 if request for renewal is postmarked more than 30 days past date of expiration.

Registry Verification and Telephone Responses

All SNFs, ICFs or DP/SNFs, are required to verify the status of a CNA with the California registry or out-of-state registries (see page 24) before allowing the CNA to provide any nursing services. Home health agencies or hospice programs should also verify the status of California certified HHAs.

The ATCS Registry has an automated telephone system that allows employers to obtain verification for up to five CNAs or HHAs per call at (916) 327-2445. By inputting the individuals' Social Security number, the system generates a confirmation number for the employer's records. (No written verification will be generated.)

Telephone Response Definitions

After reaching the individual's record, the caller will hear one of the following responses that pertains to the particular person:

"There is no record."

For CNAs, this response means either:

1. ATCS has received the applicant's fingerprints, application, and fee. The request is in process but the fingerprints are not yet cleared; OR
2. No application has been received in ATCS.

The first time the call is made, the caller must talk with a representative for clarification.

In the case of (1) above, the date of the response should be noted in the applicant's personnel files. Repeat this process every 30 days until certified. These individuals may work with proof of passing the competency exam while waiting for criminal background clearance.

In the case of (2) above, these individuals may not work until an application, fingerprints and fee have been received in ATCS and they have passed the competency exam.

For HHAs, this response means that these individuals are not listed on the registry as certified HHAs. They are not employable as certified HHAs until they apply to ATCS for certification, complete HHA training, receive clearance for any criminal convictions, and receive an HHA certificate.

"The status is inactive."

This response means that the applicant may:

1. Have been denied certification
2. Revoked for criminal history or substantiated complaints.
3. Have allowed their certificate to expire for more than two years.
4. Owe ATCS for a dishonored check.
5. Have not paid a waiver fee.
6. Have a Social Security number discrepancy.
7. (For HHAs only) ATCS has not received confirmation of the applicant's completion of training

To find out why the status is inactive, the caller must talk with an ATCS representative. These applicants are not employable until the status is "active" again.

"The status is pending."

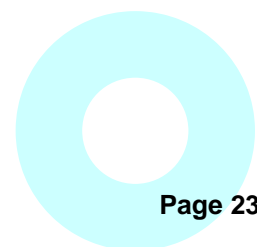
This response means there is a criminal record or complaint under investigation. Providing the certificate has not expired, this applicant is employable until the investigation is completed. The applicant and last known employer will be notified if the certificate is denied or revoked.

"The status is active."

This response means that the individual is employable for the certification period indicated.

"The status is delinquent."

This response means that the individual's certificate is delinquent because it has been expired for more than 30 days and the individual is not employable until the applicant has either renewed or reactivated his/her certificate.



STATE NURSE ASSISTANT REGISTRIES DIRECTORY

ALABAMA

334-206-5169

<http://204.29.113.114.nar/find.asp>

ARIZONA

602-331-8111, press 1,1

www.nursing.state.as.us

CALIFORNIA

916-327-2445

CONNECTICUT

860-509-7596 or 7603

DISTRICT OF COLUMBIA

1-800-475-8291, press 1,2

GEORGIA

404-657-5730

www.dhr.state.ga.us

IDAHO

208-334-3110, press 1,2,1

INDIANA

317-233-7612

KANSAS

785-296-6877 or 296-0059

LOUISIANA

225-925-4591 (1605 facility code)

MARYLAND

410-585-1994

ALASKA

907-269-8169

www.labor.state.ak.us/

ARKANSAS

501-682-8484, press 1,#

COLORADO

303-894-7888, press 1,3,3,#,3

www.dora.state.co.us/nursing

DELAWARE

1-888-204-6179, press 2,2,1

FLORIDA

850-245-4567

www.doh.state.fl.us.mqa

HAWAII

808-739-8122, ext. 122

ILLINOIS

217-782-3070, press 1,1

<http://idph.state.il.us/nar/home.htm>

IOWA

515-281-4963, press 1

KENTUCKY

888-530-1919

MAINE

207-624-5205

MASSACHUSETTS

617-753-8000, press 3,1

ID# 7770005

MICHIGAN
1-800-748-0252

MISSISSIPPI
1-888-204-6215, press 1,2,2,1

MONTANA
406-444-4980

NEVADA
702-486-5800, press 1,3--ID#000

NEW JERSEY
1-800-274-8970, press 1,2,2
www.state.nj.us/health

NEW YORK
1-800-274-7181, press 1,2,2,1

NORTH DAKOTA
701-328-2388

OKLAHOMA
1-800-695-2157, press 2
<http://www.health.state.ok.us/>

PENNSYLVANIA
1-800-852-0518
www.health.state.pa.us.qa//ltc/nar.htm

SOUTH CAROLINA
1-888-204-6256, press 1

TENNESSEE
1-888-310-4650
www.state.tn.us/health

UTAH
801-547-9947

MINNESOTA
651-215-8705, press 1,3

MISSOURI
573-526-5686, press 1,1,1

NEBRASKA
402-471-0537

NEW HAMPSHIRE
603-271-6527 or 6599, press 2

NEW MEXICO
1-800-477-6933, press 3

NORTH CAROLINA
919-715-0562, press 2,1
<http://www.ncnar.org/>

OHIO
614-752-9500, press 3

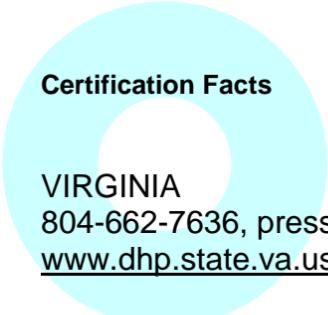
OREGON
503-731-3459, press 3

RHODE ISLAND
401-222-5888
www.health.state.ri.us

SOUTH DAKOTA
605-362-2760

TEXAS
1-800-452-3934, press 1,3,1
www.webxcel.com/

VERMONT
802-828-2819
www.sec.state.vt.us



Certification Facts

VIRGINIA

804-662-7636, press 1234--1,1,1

www.dhp.state.va.us

WEST VIRGINIA

304-558-0688

WYOMING

307-777-3520, press 1,1

WASHINGTON

360-725-2570, press 2

WISCONSIN

1-877-573-1081, press 1,1,9

www.dhfs.state.wi.us

CERTIFIED NURSE ASSISTANT FUNCTIONS

This functional statement has been developed by the DHS as appropriate CNA functions to be performed under the supervision of a licensed nurse in a licensed health facility. The Board of Registered Nursing agrees that these functions do not infringe upon the practice of nursing.

Communicate with the resident; observe resident responses to treatment and/or environment and report changes to licensed nurse.

Provide the following personal care and comfort measures:

- Bathing: bed, tub, and shower
- Haircare, shampoos, medicinal shampoos
- Shaving
- Dressing and undressing
- Oral hygiene and denture care
- Toileting
- Nail care (except that which requires a podiatrist)
- Care of hearing aids, glasses, prosthetic devices, personal equipment and belongings
- Incontinence care
- Routine skin care
- Prevention of pressure ulcers
- Perineal care
- Assistance with mobility: range of motion, transfers, ambulation, positioning, exercises as ordered and demonstrated by an RN or physical therapist
- Maintenance of a clean and healthful environment

Perform the following procedures:

- Feed patients
- Take vital signs: temperature, pulse, respirations, and blood pressure
- Measure height and weight
- Measure and record in-take and out-put
- Assist with use of bedpan, urinal, and commode
- Collect specimens; urine, stool, and sputum
- Assist with bowel and bladder retraining





Certification Facts

- Provide perineal care
- Provide or assist with bath
- Provide care to patients with urinary, gastric, oxygen, and intravenous tubing (excluding inserting, suctioning, changing or repositioning the tubes)
- Make beds
- Insert cleansing enemas, laxative suppositories
- Heimlich maneuver
- CPR (with current certification)
- Apply non-sterile dry dressings to intact skin surfaces
- Apply non-legend topical ointments, creams, lotions, and solutions to intact skin surfaces
- Chart the medical record

A CNA MAY NOT PERFORM ANY NURSING FUNCTIONS THAT MUST BE PERFORMED BY A LICENSED HEALTH CARE PROFESSIONAL. Examples are:

- Perform invasive procedures
- Pass/administer medications or give injections (This includes the administration of any medication associated with treatment of eyes, ears, nose, mouth, or genitourinary tract.)
- Perform ostomy care or apply wafer to skin
- Insert, irrigate, or replace catheters
- Suctioning
- Perform sterile procedures (dressing changes, debridement, tracheostomy care)
- Administer gastrostomy or naso gastric feedings
- Administer oxygen

HOME HEALTH AIDE FUNCTIONS

This functional statement has been developed by the DHS as appropriate HHA functions to be performed under the supervision of a licensed vocational or registered nurse through a licensed home health agency. The certified HHA shall demonstrate competency prior to providing patient care. The Board of Registered Nursing agrees that these functions do not infringe upon the practice of nursing.

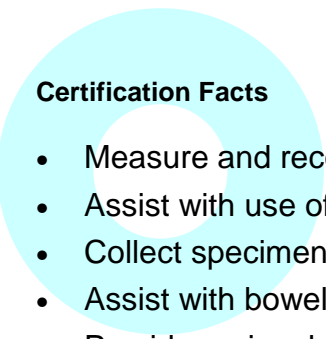
Communicate with the patient and observe patient response to treatment and/or environment and report changes to licensed nurse and therapist.

Provide and record the following personal care and comfort measures:

- Bathing: bed, tub, shower
- Haircare, shampoos, medicinal shampoos
- Shaving
- Dressing and undressing
- Oral hygiene and denture care
- Toileting
- Nail care (except that which requires a podiatrist)
- Care of hearing aides, glasses, prosthetic devices, personal equipment and belongings
- Incontinence care
- Routine skin care
- Prevention of pressure ulcers
- Perineal care
- Assistance with mobility: range of motion, transfers, ambulation, positioning, exercise as ordered and taught by an RN, physical therapist, or other appropriate health personnel
- Meal planning, food purchasing, preparation, serving, sanitation, and storage
- Maintenance of a clean and healthful environment
- Home safety and appropriate home emergency intervention

Perform the following procedures:

- Feed patients
- Take vital signs: temperature, pulse, respirations, and blood pressure
- Measure height and weight



Certification Facts

- Measure and record in-take and out-put
- Assist with use of bedpan, urinal, and commode
- Collect specimens; urine, stool, and sputum
- Assist with bowel and bladder retraining
- Provide perineal care
- Provide or assist with bath
- Provide care to patients with urinary, gastric, oxygen, and intravenous tubing (excluding inserting, suctioning, changing or repositioning the tube)
- Make beds
- Insert cleansing enemas, laxative suppositories
- Heimlich maneuver
- CPR (with current certification)
- Apply non-sterile, dry dressings to intact skin surfaces
- Apply non-legend topical ointments, creams, lotions, and solutions to intact skin surfaces
- Chart the medical record

AN HHA MAY NOT ADMINISTER ANY NURSING FUNCTIONS THAT MUST BE PERFORMED BY A LICENSED HEALTH CARE PROFESSIONAL. Examples are:

- Perform invasive procedures
- Pass/administer medications or give injections (This includes the administration of any medication associated with treatment of eyes, ears, nose, mouth, or genitourinary tract.)
- Perform ostomy care or apply wafer to skin
- Insert, irrigate, or replace catheters
- Suctioning
- Perform sterile procedures (dressing changes, debridement, tracheostomy care)
- Administer gastrostomy or nasogastric feedings
- Administer oxygen

Disqualifying Penal Code Sections

Convictions for violations of any of the following penal code sections require automatic denial or revocation of CNA and HHA certification and/or ICF/DD, DDH, DDN employment.

Section

- 187 Murder defined; death of fetus
- 192(a) Manslaughter, Voluntary
- 203 Mayhem
- 205 Aggravated Mayhem
- 206 Torture
- 207 Kidnapping
- 209 Kidnapping for ransom, reward, or extortion or robbery
- 210 Extortion by posing as kidnapper or by claiming ability to obtain release of victim
- 210.5 False imprisonment for purposes of protection from arrest or use as shield
- 211 Robbery (Includes degrees in 212.5 (a) and (b))
- 220 Assault with intent to commit mayhem, rape, sodomy, oral copulation, rape in concert with another, lascivious acts upon a child, or penetration of genitals or anus with a foreign object
- 222 Administering stupefying drugs to assist in commission of a felony
- 243.4 Sexual battery (Includes degrees (a) - (d))
- 245 Assault with deadly weapon or force likely to produce great bodily injury (Includes degrees (a)-(e))
- 261 Rape (Includes degrees (a)-(c))
- 262 Rape of spouse (Includes degrees (a)-(e))
- 264.1 Rape or penetration of genital or anal openings by foreign object, acting in concert by force or violence
- 265 Abduction for marriage or defilement
- 266 Inveiglement or enticement of unmarried female under 18 for purposes of prostitution
- 267 Abduction; person under 18 for purposes of prostitution
- 273a Willful harm or injury to a child; endangering person or health (Includes degrees (a)-(c))
- 273d Corporal punishment/injury to a child (Includes degrees (a)-(c))
- 273.5 Willful infliction of corporal injury (Includes (a)-(h))
- 285 Incest
- 286(c) Sodomy with person under 14 years against will by means of force, violence, duress, menace, or fear
 - (d) Voluntarily acting in concert with or aiding and abetting
 - (f) Sodomy with unconscious victim

Certification Facts

Section

- (g) Sodomy with victim with mental disorder or developmental or physical disability
- 288 Lewd or lascivious acts with child under age of 14
- 288a(c) Oral copulation with person under 14 years against will by means of force, violence, duress, menace or fear
- (d) Voluntarily acting in concert with or aiding and abetting
- (f) Oral copulation with unconscious victim
- (g) Oral copulation with victim with mental disorder or developmental or physical disability
- 288.5 Continuous sexual abuse of a child (Includes degree (a))
- 289 Penetration of genital or anal openings by foreign object (Includes degrees (a)-(j))
- 289.5 Rape and sodomy (Includes degrees (a) and (b))
- 368 Elder or dependent adults; infliction of pain or mental suffering or endangering health; theft or embezzlement of property (Includes degrees (b)-(f))
- 451 Arson of structure, forest, land or property; great bodily injury (Includes degrees (a)-(e))
- 459 Burglary (Includes degrees in 460 (a) and (b))
- 470 Forgery, intent; documents of value; counterfeiting seal; falsification of records (Includes (a)-(e))
- 475 Possession or receipt of forged bills, notes, trading stamps, lottery tickets or shares (Includes degrees (a) - (c))
- 484 Theft
- 484b Intent to commit theft by fraud
- 484d-j Theft of access card, forgery of access card, use of card unlawfully altered or obtained; false representation of card ownership
- 487 Grand theft (Includes degrees (a)-(d))
- *488 Petty theft
- *496 Receiving stolen property (Includes (a)-(c))
- 503 Embezzlement (Includes 504, 504a, 504b, 505, 506, 506a, 506b, 507 and 508)
- 518 Extortion
- 666 Repeat convictions for petty theft, grand theft, burglary, carjacking, robbery and receipt of stolen property

ATCS will automatically deny or revoke a CNA/HHA certificate or deny ICF/DD, DDH, DDN employment of any individual convicted for the above-listed Penal Code Sections pursuant to California law.

Certification of applicants with convictions on this list MAY be reconsidered by ATCS only if misdemeanor actions have been dismissed by a court of law or a Certificate of Rehabilitation has been obtained for felony convictions. Any other convictions, other than minor traffic violations, must also be reviewed by ATCS.

*AB 1068 Chapter 898, Statutes of 1998 excludes these misdemeanor convictions from the "automatic" list for renewing CNAs only if the CNA has had no subsequent convictions in the last 5 years. This time limit provision becomes inoperative on 8-1-01.

This publication is available on the DHS web site at <http://www.dhs.ca.gov>. Click on "Organization", "Licensing and Certification" and CNA/HHA/CHT Requirements and Procedures".

To order additional copies of this publication, mail this form to:

Department of Health Services
Licensing and Certification Program
Professional and Certification Branch
Aide and Technician Certification Section
1800 Third Street, Suite 200
P. O. Box 942732
Sacramento, CA 94234-7320
Attn: Certification Facts

- Enclose \$3.00 for each copy by business check, cashier's check, or money order made payable to Department of Health Services. (Please do not send cash or personal checks.)
- Price includes the cost of shipping and handling.
- Use only street addresses for delivery (P. O. Boxes are undeliverable). Allow 2-3 weeks for delivery.

Complete the following:

Requestor's Name: _____

Organization: _____

Address: _____

Telephone Number: _____

Number of Copies Requested: _____

FOR OFFICE USE ONLY

Date Received: _____ **Date Sent to Accounting:** _____

Fees Received: _____ **Date Mailed by ATCS:** _____